

DHR		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES		ARCHIVES AND HISTORY	
Application Date 7/24/87		Division of Administrative Services Office of Audits - Control Section Georgia Mental Health Institute 1256 Briarcliff Rd. NE - Room 317-E Atlanta, Georgia 30306		Application Number 89-062	
Application Number 87-3				Date Received AUG 17 1987	
				Date Completed AUG 14 1989	
2. Person to Contact Ann B. Johnson		Working Title Director, Control Section		Telephone Number 894-3904	
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input checked="" type="checkbox"/> Supersede; Revoke <div style="text-align: right;">Supersede from SCHEDULES #74-395-A, #74-398-A #74-399-A, #74-416-A #77-401-A</div>					
4. Dates of Series Earliest FY '84		5. Records Series Title (followed by title used in office, if different) Latest continuing Internal Audits - Working Papers File			
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Office of Audits has the responsibility to determine whether all funds due the Department are properly accounted for and are expended according to the requirements of the law and policies, procedures, and regulations applicable thereto. Also, to help Management improve the efficiency, economy, and effectiveness of operations by identifying where improvements are needed.					
7. Records Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: performing audits to determine the accuracy of funds collected and expended for DHR agencies/programs state-wide. Included are: working papers, compiled during the audit process, which support the completed audit; (see schedule # 83-830, Audits Performed by Internal Staff File). Working papers include but are not limited to: Documentation (handwritten by the auditor and/or copies of Agency records) to support the following: Overview, Financial Settlement, Findings and Recommendations, Auditor's Opinion, Financial Statements, Notes to Financial Statements, Report on Internal Control, and Report on Compliance. The file is arranged: By year audit draft is released; then alphabetically by DHR agency/program.					
8. Monthly Reference Rate One to six months old <u>daily</u> ; Seven to twelve months old <u>daily</u> ; Thirteen to twenty-four months old <u>monthly</u> ; twenty-five months and older <u>seldom</u> ?					
9. Annual Rate of Accumulation or Records Letter-size drawers _____ ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) <u>24 cubic feet</u>					

3 ☒ ☒ 8/8/89

☒ c. Is this a vital record?

☒ d. Does this series have historical or long term research value?

☒ e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?

☒ f. Is the information contained in this series ever published? If yes, attach copy.

☒ g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy. Completed audit is printed and issued; working papers are kept separately

☒ h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?

☒ i. Is this series (or a major portion of it) regularly microfilmed?

☒ j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 5 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Administratively, this file series is needed to document the performance of DHR agency/ programs regarding compliance with State and Federal Audit requirements and regulations. In addition this file series supports the completed audit retention schedule #83-830, Audits Performed by Internal Staff Files.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other _____ then,

- ☒ Hold in the current files area _____ month(s) 2 _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☒ Transfer to State Records Center; hold 3 _____ year(s); then
- ☒ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

These instructions apply to all prior and future accumulation of records for this series title.

Signature	Date	Signature	Date
DHR Office/Division -- Director/Designee		DHR Records Management Supervisor	
<i>Glenn H. Beitel</i>	5/26/87		
DHR Section/Unit -- Chief/Supervisor/Designee		DHR Records Management	
<i>Don B. Johnson</i>	5/20/87	<i>Paul T. Murphy</i>	7/24/87

STATE RECORDS COMMITTEE

Retention recommendations in paragraph 12 are approved -- If not approved, please attach a letter of explanation.

89-062

	Signature	Date
State Auditor/Designee	<i>W.H. Roper</i>	8-11-89
Secretary of State/Designee	<i>Edward Aulon</i>	8/10/89
Governor/Designee	<i>W.H. Roper</i>	8/14/89
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